



**REQUEST FOR PROPOSALS**

**For  
FISCAL AND FILE MONITORING SERVICES**

**COMMUNITY SERVICES BLOCK GRANT PROGRAM  
LOW INCOME HOME ENERGY ASSISTANCE PROGRAM  
INDIVIDUAL DEVELOPMENT ACCOUNTS PROGRAM  
AND  
WEATHERIZATION ASSISTANCE PROGRAM**

**INDIANA HOUSING AND COMMUNITY DEVELOPMENT AUTHORITY  
ATTN: COMMUNITY PROGRAMS MANAGER  
30 South Meridian Street, Suite 1000  
Indianapolis, IN 46204  
<http://www.in.gov/ihcda/>**

**317-232-7777**

**ISSUE DATE: February 16, 2015  
RESPONSE DEADLINE: March 9, 2015, 5:00 PM EST**

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## **PART 1**

## **SCOPE OF THIS REQUEST**

### **1. PURPOSE OF THIS REQUEST FOR PROPOSALS (“RFP”)**

The Indiana Housing and Community Development Authority seeks to contract with one (1) contractor to conduct compliance reviews of client files and fiscal operations of the Community Services Block Grant, Low Income Home Energy Assistance, Weatherization Assistance, and the Individual Development Accounts programs as detailed in the Scope of Services section of this RFP. This RFP may result in one (1) contract that covers each program or two (2) or more contracts. The contract(s) will have a term of one (1) year and may be renewed under the same terms and conditions, for up to four (4) times subject to approval of IHCDAs Executive Committee.

### **2. ABOUT THE INDIANA HOUSING AND COMMUNITY DEVELOPMENT AUTHORITY**

#### **MISSION STATEMENT**

The Indiana Housing and Community Development Authority (“IHCDAs”) creates housing opportunities, generates and preserves assets, and revitalizes neighborhoods by facilitating the collaboration of multiple stakeholders, investing financial and technical resources in development efforts, and helping build capacity of qualified partners throughout Indiana.

#### **VISION**

At IHCDAs, we believe that growing Indiana's economy starts at home. Everyone can agree that all Hoosiers should have the opportunity to live in safe, affordable, good-quality housing in economically stable communities. That's the heart of IHCDAs mission. Our charge is to help communities build upon their assets to create places with ready access to opportunities, goods, and services. We also promote, finance, and support a broad range of housing solutions, from temporary shelters to homeownership.

IHCDAs work is done in partnership with developers, lenders, investors, and nonprofit organizations that use our financing to serve low and moderate-income Hoosiers. We leverage government and private funds to invest in financially sound, well-designed projects that will benefit communities for many years to come. And our investments bear outstanding returns. The activities that we finance help families become more stable, put down roots, and climb the economic ladder. In turn, communities grow and prosper, broadening their tax base, creating new jobs, and maximizing local resources. IHCDAs work is truly a vehicle for economic growth, and it all starts at home.

#### **OVERVIEW (for more information visit <http://www.in.gov/ihcda/>)**

IHCDAs was created in 1978 by the Indiana General Assembly and is a quasi-public financially self-sufficient statewide government agency. IHCDAs programs are successful in large part because of the growing network of partnerships IHCDAs has established with local, state, and federal governments, for-profit businesses and not-for-profit organizations. For-profit partners include investment banks, mortgage lenders, commercial banks, corporate investment managers and syndicators, apartment developers, investors, homebuilders, and realtors. Not-for-profit partners include community development corporations, community action agencies, and not-for-profit developers.

### **3. SCOPE OF SERVICES**

### **A. Programs involved in Scope:**

**The Community Services Block Grant (“CSBG”)** is a federal block grant funded by the U.S. Department of Health and Human Services (“HHS”) that is designed to assist sub-grantees that are community action agencies with alleviating the causes and conditions of poverty in communities at or below one hundred twenty-five percent (125%) of the federal poverty level. According to the CSBG Act, funds made available through the grant must be used to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under part A of title IV of the Social Security Act (42 U.S. C. 601 et seq.), homeless families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families.

**The Low-Income Home Energy Assistance Program Block Grant (“LIHEAP”)** is a non-competitive, federally funded block grant funded by HHS. LIHEAP funds are provided to states to assist low-income households, particularly those with the lowest incomes, that pay a high proportion of household income for home energy, primarily in meeting their immediate home energy needs.. Since July 1, 2006, Indiana Housing and Community Development Authority (“IHCDA”) has administered LIHEAP for the State of Indiana. The program is managed by the IHCDA’s Community Programs Department. Throughout Indiana, LIHEAP is simply known as the Energy Assistance Program (“EAP”). The program year runs from October 1 through September 30. The State has designated twenty-four (24) community organizations, who are sub-grantees and serve as primary intake locations for EAP, IHCDA also refers to these sub-grantees as “Local Service Providers” (“LSPs”). The LSPs will receive applications in person, through a mail-in process, or through another subcontractor. These organizations are responsible for determining eligibility and the timely submission of payment transmittals to vendors. These organizations ensure that EAP is available in all 92 counties.

**Individual Development Accounts (“IDAs”)** are matched savings accounts designed to encourage low-income families to save for the purchase of an asset (e.g., home, education/job training, or small business). Participants in the program are required to successfully complete financial education as well as training related to a specific asset purchase. The program year runs from October 1 through September 30. The IDA is available in 61 of Indiana’s 92 counties and is administered by over 25 sub-grantees which act as local program administrators. (See Appendix F for a list of local program administrators) Overall program administration is guided by Indiana Code (I.C. 4-4-28) and AFI Legislation (Community Opportunities, Accountability, and Training and Educational Services Act 1998). The IDA program is tailored to accommodate both federal and state legislation. The objective of the IDA program is to assist people with limited means in achieving financial independence and becoming financially self-sufficient by providing them the skills to:

- Develop a budget and set goals;
- Establish regular saving habits; and
- Invest in assets.

**The Weatherization Assistance Program (“WAP”)** provides energy conservation measures to the low-income population. Funding for the Weatherization Assistance Program comes from both the U.S. Department of Energy (“DOE”) and the HHS. The DOE program year runs from April 1 through March 31 and the HHS program year runs from October 1 through September 30. WAP is also administered by sub-grantees. Sub-grantees consist of non-profits and community action agencies (“CAA’s”) throughout the State of Indiana. Sub-grantees involved in WAP services may use their own crews or independent contractors to provide energy conservation measures. In either case, the sub-grantee is ultimately responsible for the quality of workmanship and for the effectiveness of services supplied. Within the framework of the federal regulations and state codes, IHCDA has the flexibility to operate the WAP in a

manner that is best for the low-income families in the State of Indiana. IHCD A gives much of that same discretion to sub-grantees administering WAP at the local level.

For all of the programs, the State of Indiana is the grantee and must implement a compliance program to ensure that there is uniformity and equity in service delivery for all low income families that receive services. The system that IHCD A employs to ensure quality of service is an extensive training and monitoring plan implemented through the use of professional services contractor. Under this RFP, each subgrantee will receive a compliance visit to evaluate uniformity and equity in its client eligibility and fiscal operations.

**If Respondent is selected pursuant to this RFP, it will be required to perform the following services:**

**B. Planning:**

The Respondent must obtain training regarding Federal and IHCD A requirements associated with the following programs: CSBG, EAP, the IDA program and WAP and develop and execute a monitoring plan for the fiscal and file monitoring functions. The monitoring plan shall include the overall objectives, timeline and reporting expectations, and how the plan will be executed by the Respondent. The Respondent shall submit a schedule to IHCD A that describes the Respondent's plan for completing all onsite monitoring visits within the timelines described below.

1. In order to prepare for the file monitoring objectives, the Respondent regarding Federal and IHCD A requirements associated with the CSBG, EAP, the IDA program and WAP and attend training events hosted by IHCD A. The regulations for these programs are as follows:
  - CSBG – 42 U.S.C 106 § 9901-9912 and 45 CFR 96.90;
  - EAP –42 U.S.C 94 § 8621-8630 (2008) and 45 CFR 96.80;
  - IDA –42 USC 604 § 401-416 and IC. 4-4-28; and
  - WAP – 10 CFR 440.
2. The Respondent shall obtain training from IHCD A regarding how to determine and document client eligibility for each program. In addition, the Respondent will be required to review the IHCD A program manuals that are applicable to the above-referenced programs.
3. In order to prepare for the fiscal monitoring objectives, the Respondent shall obtain a thorough understanding of the CSBG, EAP, the IDA program and WAP financial requirements. This will require the Respondent to be familiar with 2 CFR 200 as modified by DOE for WAP and HHS for CSBG, EAP and IDA in the Federal Register Notice No. 244 Vol. No 79, dated December 19, 2014. With respect to CSBG, EAP, and the IDA program, the Respondent should be familiar with 2 CFR 200, 2 CFR 300, and 45 CFR 92. With respect to WAP the Respondent should be familiar with 2 CFR 200, 2 CFR 910, and 10 CFR 600.
4. The Respondent shall train its staff regarding IHCD A and Federal requirements for CSBG, EAP, the IDA program, and WAP.
5. The Respondent shall document IHCD A expectations, timelines, and reporting requirements for CSBG, EAP, the IDA program, and WAP.

6. Respondent shall develop an approved monitoring program that includes the development and implementation of monitoring tools for client eligibility review and fiscal operations, an approved methodology for sample selection, and a framework for reporting deficiencies and weaknesses in the form of findings and concerns to sub-grantees and IHCD.
7. The Respondent shall review any previous quality control monitoring results from sub-grantee's including internal controls, internal monitoring/reporting procedures and any additional guidance or requests received from IHCD prior to site visits.

**C. Rollout of Specific Programs and Services:**

1. **Year 1**, the Respondent shall both provide fiscal and file monitoring services for EAP and the IDA programs but will only provide fiscal monitoring services for WAP.
2. **Year 2**, if the contract is renewed, the Respondent shall perform both fiscal and file monitoring services for EAP, the IDA program, WAP but will only provide fiscal monitoring services for the CSBG Program.

The onsite fiscal and file monitoring visits for EAP, the IDA program and fiscal services for WAP shall begin April 1, 2015 and conclude by March 31, 2016.

The CSBG fiscal and WAP monitoring visits will begin on April 1, 2016, if the contract is renewed.

**D. Subgrantee's Programs and Geographical Areas:**

Local Service Provider (LSP)	Location	Program(s)	Approximate # of Files by Program
Area IV Agency on Aging and Community Action Programs, Inc.	660 N. 36th Street, Lafayette, IN 47905	CSBG, EAP, IDA, WAP	EAP - 115 IDA - 15 WAP - 7
Area Five on Aging and Community Services, Inc.	1801 Smith Street, Logansport, IN 46947	CSBG, EAP, IDA, WAP	EAP - 160 IDA - 15 WAP - 7
Community Action of Greater Indianapolis, Inc.	3266 N. Meridian St., Indianapolis, IN. 46208	CSBG, EAP, IDA, WAP	EAP - 350 IDA - 15 WAP - 10
Community Action of Northeast Indiana, Inc.	37 W. Washington St., Fort Wayne, IN  2260 Lake Avenue, Fort Wayne, IN 46853	CSBG, EAP, IDA, WAP	EAP - 350 IDA - 15 WAP - 7
Community Action Program of Evansville, Inc.	401 S.E. 6 <sup>th</sup> Street, Ste. 001, Evansville, IN. 47547	CSBG, EAP, IDA, WAP	EAP - 175 IDA - 15 WAP - 7
Community Action of Southern Indiana, Inc.	1613 E. Eighth Street, Jeffersonville, IN 47130	CSBG, EAP, IDA, WAP	EAP - 160 IDA - 15 WAP - 7

Community and Family Services	521 S. Wayne St., Portland, IN. 47371	CSBG, EAP, WAP	EAP - 125 WAP - 7
Community Action Program of Western Indiana	418 E Washington Street, Covington, IN 47932	CSBG, EAP, IDA, WAP	EAP - 85 IDA - 15 WAP - 5
Human Services, Inc.	4355 East 600 North, Columbus, IN 47203	CSBG, EAP, IDA, WAP	EAP - 120 IDA - 15 WAP - 7
Hoosier Uplands Economic Development Corporation	521 W. Main St., Mitchell, IN 47446	CSBG, EAP, IDA, WAP	EAP - 150 IDA - 15 WAP - 5
Interlocal Community Action Program, Inc.	615 W State Road 38, New Castle, IN 47362	CSBG, EAP, IDA, WAP	EAP - 225 IDA - 15 WAP - 7
JobSource Central Indiana Community Action Program	222 E 10 <sup>th</sup> , Anderson, IN 46015	CSBG, EAP, IDA, WAP	EAP - 185 IDA - 15 WAP - 5
Marion County Consortium	3901 N. Meridian St., Indianapolis, IN. 46208	EAP	EAP - 850
Lincoln Hills Development Corporation	302 Main Street, Tell City, IN 47586	CSBG, EAP, IDA, WAP	EAP - 55 IDA - 15 WAP - 5
North Central Community Action Corporation	301 East 8th St., Michigan City, IN 46360	CSBG, EAP, IDA, WAP	EAP - 150 IDA - 15 WAP - 7
Northwest Indiana Community Action Corporation	5240 Fountain Drive, Crown Point, IN 46307	CSBG, EAP, IDA, WAP	EAP - 500 IDA - 15 WAP - 7
Ohio Valley Opportunity, Inc	425 Walnut Street, Madison, IN 47250	CSBG, EAP, IDA, WAP	EAP - 75 IDA - 15 WAP - 5
PACE Community Action Agency	525 N. 4 <sup>th</sup> Street, Vincennes, IN 47591	CSBG, EAP, IDA, WAP	EAP - 120 IDA - 15 WAP - 5
Real Services, Inc.	1151 S. Michigan St., South Bend, IN 46634	CSBG, EAP, IDA, WAP	EAP - 350 IDA - 15 WAP - 7
South Central Community Action Program, Inc.	1500 West 15 <sup>th</sup> , Bloomington, IN 47404	CSBG, EAP, IDA, WAP	EAP - 130 IDA - 15 WAP - 7
Southeastern Indiana Economic Opportunity Corporation	110 Importing Street, Aurora, IN 47001	CSBG, EAP, IDA, WAP	EAP - 53 IDA - 15 WAP - 7
DuBois-Pike-Warrick Economic Opportunity Committee	607 E. 3 <sup>rd</sup> St., Jasper, IN 47547	CSBG, EAP, IDA, WAP	EAP - 52 IDA - 15 WAP - 7
Western Indiana Community Action Agency	705 S. 5 <sup>th</sup> st., Terre Haute, IN 47807	CSBG, EAP, IDA, WAP	EAP - 160 IDA - 15 WAP - 5
People Working Cooperatively, LLC.	46112 Paddock Road Cincinnati, OH 45229	WAP	WAP - 7
Affordable Housing Corporation	812 S. WashingtonSt.Marion,	IDA	IDA - 15

	IN 46953		
Combined Community Services, Inc.	110 E. Prairie St. Warsaw, IN 46580	IDA	IDA - 15
Eastside Community Center, Inc.	421 McClure Rd. Columbus, IN 47201	IDA	IDA - 15
Housing Opportunities, Inc.	2801 Evans Ave. Valparaiso, IN 46383	IDA	IDA - 15
La Casa	202 N. Cottage Ave. Goshen, IN 46528	IDA	IDA - 15
Pathfinder Services, Inc.	1005 Rudisill Blvd., Suite 301 Fort Wayne, IN 46807	IDA	IDA - 15
Pathstone	1917 W Royale Dr. Muncie, IN 47304	IDA	IDA - 15
South Bend Housing Authority	501 Alonzo Watson Dr. South Bend, IN 46634	IDA	IDA - 15
Terre Haute Housing Authority Development Corporation	2001 N. 19th St. Terre Haute, IN 47804	IDA	IDA - 15
The John H. Boner Community Center, Inc.	2236 E 10th Street Indianapolis IN 46201	IDA	IDA - 15
		Total # of Files: 5,000	EAP - 4345 IDA - 465 WAP - 150
		Total # of Fiscal Reviews: 87	*CSBG – 11 *per year EAP – 23 IDA – 30 WAP – 23

## **E. Tasks:**

### **1. Client Eligibility Review**

The Respondent shall review approximately 5,000 client files for compliance with EAP, IDA and WAP requirements related to program eligibility, as a part of this review the Respondent will perform a review of claims associated with this file. The Respondent shall review any previous quality control monitoring results from sub-grantee's including internal controls, internal monitoring/reporting procedures and any additional guidance or requests received from IHCD prior to site visits.

#### **I. File Monitoring (Client Eligibility Review)**

- a. The Respondent shall perform a review the number of files of a selected number of client files at the main location of each sub-grantee location.



- b. The Respondent shall request a random sampling of files for each sub-grantee from IHCDCA monitor and submit to the sub-grantee for the compliance review. The Respondent shall notify the sub-grantee within thirty (30) days of its arrival for the onsite visit.
- c. The Respondent shall request client eligibility files at least thirty (30) days prior to its visit.
  - The Respondent shall perform a review of claims for 25% of the files selected for review under CSBG, EAP, IDA and WAP for each sub-grantee.
  - The Respondent shall request claims onsite as part of the random sampling of files requested.
- d. **Respondent shall ensure that sub-grantees resolve all findings and deficiencies noted in its monitoring visits, in the event that IHCDCA issues a quality improvement plan for the sub-grantee (this may result in Respondent making anywhere between 1-3 follow up visits to the sub-grantee(s). Historically, 2- 3 sub-grantees may fall into this category.**

## II. Claim Review/Validation

- a. The Respondent shall perform a review of claims for 25% of the files selected for review under CSBG, EAP, IDA and WAP for each sub-grantee.
- b. The Respondent shall request claims onsite as part of the random sampling of files requested.
- c. The Respondent shall conduct claims validation to identify any unallowable costs charged to CSBG, EAP, IDA or WAP.
  - i. Program claims shall include, but may not be limited, items related to:
    - 1. EAP transmittals,
    - 2. Proper documentation of Family Development and Energy Education activities and request for reimbursement for EAP,
    - 3. For WAP program expenses associated with weatherizing a home (contractor payments, supplies, materials, equipment, etc.;
    - 4. For the IDA program match claims and claims associated with asset purchases; and
    - 5. Respondent will only perform fiscal review for CSBG.
- d. The Respondent shall review supporting documentation used to support reimbursement claims, bank statement reconciliations and payroll transactions. Each sub-grantee's cost allocation plan must be tested in order to determine that the proper allocation methodology was used by the sub-grantee.
- e. Review and conduct test of sub-grantees cost allocation plan to include, at a minimum, administrative, program support and direct services cost.

## 2. Fiscal Review

The Respondent shall conduct fiscal reviews that consist of a thorough analysis of recent financial statements and their relationship to the trial balance, general ledger, the IRS 990 form, and subsidiary ledgers.

- a. There will be approximately 87 fiscal reviews, each program shall be subject to its own fiscal monitoring and must be billed on a separate invoice.
- b. The Respondent will ensure that the sub-grantee's financial records are up to date and posted.

- c. The Respondent shall read each sub-grantee's fiscal policy and procedure manual for testing of all fiscal practices, including but not limited to the cost allocation plan, inventory list and procurement procedures.
- d. The Respondent will conduct a financial analysis assessing the sub-grantee's overall financial health.
- e. The Respondent shall test each sub-grantee's time study conducting a payroll analysis for a sample of its employees both exempt and non-exempt and comparing it to the sub-grantee's cost allocation plan.
- f. The Respondent will review each sub-grantee's accounts payables and receivable ledgers for outstanding debts to ensure that claims are processed timely.
  - a. Overall agency administrative claims should be reviewed as part of this process.
- g. Review and conduct test of sub-grantees cost allocation plan to include, at a minimum, administrative, program support and direct services cost.
  - a. The Sub-grantee's administrative claims should be reviewed as part of this process.
- h. The Respondent will review each sub-grantee's most recent single or program-specific audit required by the Single Audit Act Amendments of 1996, (31 U.S.C. 7501-7507) previously described as an A-133 audit.
- i. The Respondent will review and document any unresolved findings from other funding sources in its most recent financial audit.
- j. The Respondent shall ensure that sub-grantees resolve all findings and deficiencies noted in its monitoring visits, in the event that IHCD A issues a quality improvement plan for the sub-grantee (this may result in Respondent making anywhere between 1-3 follow up visits. Historically, 2- 3 sub-grantees may fall into this category.
- k. The Respondent shall obtain guidance from IHCD A regarding the elements of the fiscal review that are required by IHCD A Policy and Procedures Manuals that are applicable to these programs and the reporting and tracking processes required by HHS and DOE.
- l. The Respondent shall conduct regularly scheduled meetings with IHCD A management to ensure that financial monitoring objectives and claims review are met according to and in compliance with overall IHCD A objectives.

### **3. Project Management:**

- a. The Respondent shall ensure project expectations are met, the monitoring plan is executed, and that feedback and reports are submitted to IHCD A in accordance with the guidelines established herein.
- b. The Respondent shall ensure that the planning process is completed and that an adequate number of its staff is assigned to the project.
- c. The Respondent shall coordinate with the appropriate IHCD A monitor when scheduling onsite visits as needed.
- d. The Respondent shall frequently meet with IHCD A to ensure the monitoring plan is executed in a timely fashion.
- e. The Respondent shall prepare reports for IHCD A approval prior to issuing report to sub-grantee.
- f. The Respondent shall provide feedback to sub-grantees and follow-up with sub-grantees as deemed necessary by Respondent and/or IHCD A.

- g. The Respondent shall quality control review its reports for completeness and consistency prior to submission to IHCD or the sub-grantees.
- h. Respondent shall review the status of the monitoring plan with IHCD and follow up on any issues or concerns with sub-grantees, and provide overall program review and recommendations.

#### 4. Reporting and Tracking:

- a. The Respondent shall conduct onsite monitoring at the main offices of each of the 34 sub-grantees.
- b. The Respondent's visit shall include an entrance interview, file eligibility monitoring, a fiscal review, an interview with the Executive Director or designated staff of contact (or equivalent), and an exit interview.
- c. The Respondent shall issue a monitoring report to IHCD within eighteen (18) calendar days from the exit interview for review and approval. The Respondent will issue the approved report to the sub-grantee within thirty (30) calendar days of the exit interview. The sub-grantee will submit its response to IHCD within thirty (30) calendar days of receiving its report. IHCD will then have fifteen (15) calendar days to issue its response to the sub-grantee.
- d. The monitoring report shall be sent to the sub-grantee with thirty (30) calendar days, and will include the following:
  - i. The date of the monitoring review;
  - ii. A summary of findings and concerns identified in the monitoring review;
  - iii. The Return of Funds amount, as applicable, to be paid to IHCD;
  - iv. Program recommendations to improve financial position, as applicable;
  - v. A recommendation to IHCD that the sub-grantee should be placed on a Modified Quality Improvement Plan or Quality Improvement Plan, as applicable;
  - vi. A requirement that monitoring responses must be received from the sub-grantees within thirty (30) calendar days from the date that the monitoring report was issued;
  - vii. Notification regarding program management of any sub-grantee with internal controls malpractices, evidence of unallowable expenses or any mismanagement of funding discovered or encountered during the monitoring visit;
- e. The Respondent must have work papers and supporting documentation available if there are any questions regarding information in the monitoring report throughout the records retention period.

#### 4. RFP TIMELINE

February 16, 2015	RFP released to the general public.
March 9, 2015	Respondent must submit its response to RFP by 5:00 pm EST.
March 13, 2015	Tentative selection is made pending approval by Executive Committee.
March 19, 2015	Tentative selection taken to Executive Committee for approval.
March 27, 2015	Schedule of onsite monitoring visits issued to sub-grantees

## **PART 2**

## **RFP PROCESS**

### **1. SELECTION PROCESS**

Evaluation of all qualifications will be completed by IHCD. Respondent must also be responsive and responsible as described in Section 2, and 4 of Part 2 of this RFP. Selection of a respondent is at the sole discretion of IHCD.

### **2. MINIMUM REQUIREMENTS/RESPONSIVE RESPONDENT**

Respondent's staff fulfilling the duties outlined in this RFP must meet the following minimum requirements to be deemed responsive to this RFP.

#### **Credentials**

- Bachelor's degree; and
- Preferably either an MBA, or active C.P.A. certification; and
- Preferably 3-5 years relevant experience in any of the following areas:
  - Accounting; or
  - Finance; or
  - Auditing; or
  - Federal programs.

#### **Experience**

Additional experience pertaining to the following will also be weighed heavily in the selection process.

- Financial and regulatory requirements related to not-for-profits receiving federal funding.
- Government cost allocation requirements.
- Federal grant management and oversight.
- Federal grant management and oversight related to CSBG, EAP, the IDA program and/or WAP.
- Development of monitoring programs, reports, schedules and trainings.
- Analysis of findings reported as a result of monitoring review.

### **3. QUALIFICATIONS EVALUATION CRITERIA**

The following will be IHCD's primary consideration in the selection process:

1. Compliance with the requirements of this RFP;
2. An assessment of the Respondent's ability to deliver the indicated service in accordance with the specifications set out in the RFP;
3. Experience of the Respondent, which also includes Respondent's past and current experience and performance in monitoring any of IHCD's Community Programs WAP, EAP, HCVP and CSBG;
4. Strength of client references;

5. Demonstrated understanding of federal requirements for cost allocation plans and proposed strategy for management of this project, if selected; and
6. Competitive fee.

#### 4. RESPONSIBLE RESPONDENT REQUIREMENTS

IHCDA shall not award any contract until the selected respondent has been determined to be responsible. A responsible respondent must:

1. Have adequate financial resources to perform the project, or the ability to obtain them;
2. Be able to comply with the required or proposed delivery or performance schedule, taking into consideration all the Respondent's existing commercial and governmental business commitments;
3. Have a satisfactory performance record with IHCDA, if applicable;
4. Have a satisfactory record of integrity and business ethics;
5. Have the necessary organization, experience, accounting and operational controls, and technical skills, or the ability to obtain them;
6. Have the necessary production and technical equipment and facilities, or the ability to obtain them;
7. Have supplied all requested information;
8. Be legally qualified to contract in the State of Indiana and is an entity described in IC Title 23, is properly registered, and owes no outstanding reports to the Indiana Secretary of State (There is a fee to register with the Secretary of State); and
9. Be otherwise qualified and eligible to receive an award under applicable laws and regulations, including not be suspended or debarred. If a prospective contractor is found to be non-responsible, a written determination of non-responsibility shall be prepared and included in the official file for this RFP, and the respondent shall be advised of the reasons for the determination.

#### 5. RFP SUBMISSION ITEMS

Respondent must submit documentation in response to the requirements listed in each category heading summarized below. All of these requirements are described more fully in **Section 2 of Part II** of this RFP, entitled "**Minimum Requirements/Responsive Respondent**". Therefore, Respondent must review **Section 2 of Part II** of this RFP very carefully before submitting its responses. The Respondent must also submit the Qualifications Coversheet and the Certification of Company located at the end of this RFP.

1. Resumes for each person that will be assigned to the engagement. At a minimum, resumes should contain the person's name, educational background, and relevant experience related to this project's requirements.
2. A description of the firm's experience within the last three (3) to five (5) years related to the audit/review of cost allocation plans and fiscal procedures of recipients of federal funding or similar services.
3. Submit three (3) references related to similar services performed for other organizations.
4. Discuss and provide examples of Respondent's plan to manage this project, if selected, Respondent's plan should include but is not limited to a schedule that shows

Respondent's schedule for completing all onsite monitoring visits for sub-grantees listed Subsection D of Section 3 of Part 1 of this RFP.

5. Discussion of why Respondent should be selected over any other respondent.
6. Standardized fee. Respondent must submit the following: (1) its fee for performing a client eligibility review (file review), (2) its fee for performing claim validation/review, (3) and its fee for performing a fiscal review for each sub-grantee and program administered by that sub-grantee. The fee for the client eligibility review, includes a review of the claims therefore the fee for the file review should be calculated on a **per file basis** and the fee for the claim validation/review on a **per claim basis**, the fiscal monitoring review should be calculated on a per program basis. When calculating the fee for the fiscal review, Respondent should keep in mind that some entities will only require one (1) fiscal review but others may require up to four (4) fiscal monitoring reviews based on the number of programs that will be included in the review see Subsection D of Section 3 of Part 1 of this RFP. There will be approximately 87 of fiscal reviews. Each program shall be subject to its own fiscal monitoring and must be billed on separate invoices. In additionally file monitoring fees and fees associated with reviewing claims for different programs must be billed on separate invoices.

## **6. FORMAT FOR SUBMISSION, MAILING INSTRUCTIONS, AND DUE DATE**

Respondent's proposal must be submitted to IHCD in electronic format. Please submit the RFP response to the following:

Lynell S. Westbrook  
Community Programs Manager  
Indiana Housing and Community Development Authority  
30 South Meridian, Suite 1000  
Indianapolis, IN 46204  
lwestbrook@ihcda.in.gov

**The deadline for submission is March 9, 2015 at 5:00 PM EST.**

Applications that do not contain all of the required forms/documents as listed in this RFP may be determined ineligible for further consideration.

## PART 3

## TERMS AND CONDITIONS

### 1. STATE POLICIES

- A. **ETHICAL COMPLIANCE:** By submitting a proposal, the respondent certifies that it shall abide by all ethical requirements that apply to persons who have a business relationship with the State, as set forth in Indiana Code § 4-2-6 et seq., Ind. Code § 4-2-7, et seq., the regulations promulgated thereunder, and Executive Order 04-08, dated April 27, 2004. Respondent will be required to attend online ethics training conducted by the State of Indiana.
- B. **CONFIDENTIAL INFORMATION:** Respondents are advised that materials contained in proposals are subject to the Access to Public Records Act ("APRA"), IC 5-14-3 et. seq., and the entire response may be viewed and copied by any member of the public. Respondents claiming a statutory exemption to disclosure under APRA must place all confidential documents (including the requisite number of copies) in a sealed envelope marked "Confidential". Respondents should be aware that if a public records request is made under APRA, IHCDCA will make an independent determination of confidentiality, and may seek the opinion of the Public Access Counselor. Prices are not considered confidential information.
- C. **TAXES, FEES AND PENALTIES:** By submitting a proposal respondent certifies that neither it nor its principal(s) is presently in arrears in payment of its taxes, permit fees or other statutory, regulatory or judicially required payments to the State of Indiana or the United States Treasury. Respondent further warrants that it has no current, pending or outstanding criminal, civil, or enforcement actions initiated by either the State or Federal Government pending against it, and agrees that it will immediately notify IHCDCA of any such actions.
- D. **CONFLICT OF INTEREST:** Respondent must disclose any existing or potential conflict of interest relative to the performance of the services resulting from this RFP, including any relationship that might be perceived or represented as a conflict. By submitting a proposal in response to this RFP, respondent affirms that it has not given, nor intends to give at any time hereafter, any economic opportunity, future employment, gift, loan, gratuity, special discount, trip, favor, or service to a public servant or any employee or representative of same, in connection with this procurement. Any attempt to intentionally or unintentionally conceal or obfuscate a conflict of interest will automatically result in the disqualification of the respondent's proposal or immediate termination of an awardee's contract. An award will not be made where an actual conflict of interest exists. IHCDCA will determine whether a conflict of interest exists and whether an apparent conflict of interest may reflect negatively on IHCDCA, should IHCDCA select respondent. Further, IHCDCA reserves the right to disqualify any respondent on the grounds of actual or apparent conflict of interest.
- E. **APPEALS:** Respondent may appeal the award of this contract based on alleged violations of the selection process that resulted in discrimination or unfair consideration. The appeal must include the stated reasons for the Respondent's objection to the funding decision, which reasons must be based solely upon evidence supporting one (1) of the following circumstances:
- a. Clear and substantial error or misstated facts which were relied on in making the decision being challenged;
  - b. Unfair competition or conflict of interest in the decision-making process;

- c. An illegal, unethical or improper act; or
- d. Other legal basis that may substantially alter the decision.

The appeal must be received within ten (10) business days after the Respondent receives notice of the contract award, or the appeal/protest will not be considered. All appeals shall be in writing, submitted to the Compliance Officer, who shall issue a written decision on the matter. The Compliance Officer may, at his/her discretion, suspend the procurement pending resolution of the protest if the facts presented so warrant. The Respondent will receive written acknowledgement of receipt of the appeal within five (5) business days of its receipt, noting the day the appeal was received. Any appeal regarding the funding decision made by IHCDCA will be examined and acted upon by the Compliance Officer within thirty (30) days of its receipt.

## **2. FEDERAL REQUIREMENTS**

Respondent understands that it must comply with the following regulations:

**Clean Air Act (42 U.S.C. 7401-7671q.) and the Federal Water Pollution Control Act (33 U.S.C. 1251-1387), as amended**—Contracts and subgrants of amounts in excess of \$150,000 must contain a provision that requires the non-Federal award to agree to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act (42 U.S.C. 7401-7671q) and the Federal Water Pollution Control Act as amended (33 U.S.C. 1251-1387). Violations must be reported to the Federal awarding agency and the Regional Office of the Environmental Protection Agency (EPA).

**Byrd Anti-Lobbying Amendment (31 U.S.C. 1352)**—Contractors that apply or bid for an award exceeding \$100,000 must file the required certification. Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant or any other award covered by 31 U.S.C. 1352. Each tier must also disclose any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award. Such disclosures are forwarded from tier to tier up to the non-Federal award.

**Section 106(g) of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. 7104).**

## **3. RFP TERMS AND CONDITIONS**

This request is issued subject to the following terms and conditions:

- A. This RFP is a request for the submission of qualifications, but is not itself an offer and shall under no circumstances be construed as an offer.
- B. IHCDCA expressly reserves the right to modify or withdraw this request at any time, whether before or after any qualifications have been submitted or received.
- C. IHCDCA reserves the right to reject and not consider any or all respondents that do not meet the requirements of this RFP, including but not limited to: incomplete qualifications and/or qualifications offering alternate or non-requested services.
- D. IHCDCA reserves the right to reject any or all companies, to waive any informality in the RFP process, or to terminate the RFP process at any time, if deemed to be in its best interest.
- E. In the event the party selected does not enter into the required agreement to carry out the purposes described in this request, IHCDCA may, in addition to any other rights or remedies available at law or in equity, commence negotiations with another person or entity.



- F. In no event shall any obligations of any kind be enforceable against IHCD A unless and until a written agreement is entered into.
- G. The Respondent agrees to bear all costs and expenses of its response and there shall be no reimbursement for any costs and expenses relating to the preparation of responses of qualifications submitted hereunder or for any costs or expenses incurred during negotiations.
- H. By submitting a response to this request, the Respondent waives all rights to protest or seek any remedies whatsoever regarding any aspect of this request, the selection of another respondent or respondents with whom to negotiate, the rejection of any or all offers to negotiate, or a decision to terminate negotiations.
- I. IHCD A reserves the right not to award a contract pursuant to the RFP.
- J. All items become the property of IHCD A upon submission and will not be returned to the Respondent.
- K. IHCD A reserves the right to split the award between multiple applicants and make the award on a category by category basis and/or remove categories from the award.
- L. The Respondent certifies that neither it nor its principals, contractors, or agents are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from utilizing federal funds by any federal or state department or sub-grantee.
- M. A copy of IHCD A's most recent Contract Boilerplate is attached as an Exhibit to this RFP. By submitting a response to this RFP, respondent acknowledges the acceptance of IHCD A's Contract Boilerplate and the understanding that such Boilerplate is non-negotiable.

## Community Programs Monitoring

### 4. Cover sheet shall contain the following information:

Name of Individual,  
Firm or Business:

Address:

Phone Number:  
Fax Number:  
Web Site Address:

QUALIFICATION  
Contact Person:

Title:  
Email Address:  
Phone:

Contract Signatory  
Authority:

Title:

## INDIANA HOUSING AND COMMUNITY DEVELOPMENT AUTHORITY

### 5. CERTIFICATION OF RESPONDENT

I hereby certify that the information contained in these qualifications and any attachments is true and correct and may be viewed as an accurate representation of proposed services to be provided by this organization. I acknowledge that I have read and understood the requirements and provisions of the RFP and agree to abide by the terms and conditions contained herein.

I \_\_\_\_\_ am the \_\_\_\_\_ of

the (type name of signatory authority) corporation, partnership, association, or other entity named as company and the Respondent herein, and I am legally authorized to sign this and submit it to the Indiana Housing and Community Development Authority on behalf of said organization.

18 U.S.C. § 1001, "Fraud and False Statements," provides among other things, in any matter within the jurisdiction of the executive, legislative, or judicial branch of the Government of the United States, anyone who knowingly and willfully: (1) falsifies, conceals, or covers up by any trick, scheme, or device a material fact; (2) makes any materially false, fictitious, or fraudulent statement or representation; or (3) makes or uses any false writing or document knowing the same to contain any materially false, fictitious, or fraudulent statement or entry; shall be fined under this title, and/or imprisoned for not longer than five (5) years.

Respondent:

Signed: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

Firm name: \_\_\_\_\_